

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/605,605

Filed: June 28, 2000

For: PLATFORM AND METHOD FOR ESTABLISHING  
PROVABLE IDENTITIES WHILE MAINTAINING  
PRIVACY

Art Group: 2132

Examiner: Justin T. Darrow

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted on or before payment of the Issue Fee. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

02/17/2005 RFEKADU1 00000020 09605605

02 FC:1806

180.00 OP

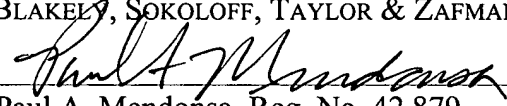
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions. **MUST FILE A CPA OR RCE**

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: February 14, 2005

  
Paul A. Mendonsa, Reg. No. 42,879

12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Deborah L. Higham

02-14-05

Date

Substitute for form 1449A/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	09/605,605
Filing Date	June 28, 2000
First Named Inventor	Carl M. Ellison
Art Unit	2132
Examiner Name	Justin T. Darrow
Attorney Docket Number	42390P7709

Sheet

/

of

7

## **U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US-3,699,532	10-17-1972	Schaffer et al.	
	2	US-3,996,449	12-07-1976	Attanasio et al.	
	3	US-4,207,609	06-10-1980	Luiz et al.	
	4	US-4,403,283	09-06-1983	Myntti et al.	
	5	US-4,419,724	12-06-1983	Branigin et al.	
	6	US-4,430,709	02-07-1984	Schleupen	
	7	US-4,621,318	11-04-1986	Maeda	
	8	US-4,802,084	01-31-1989	Ikegaya et al.	
	9	US-4,975,836	12-04-1990	Hirosawa et al.	
	10	US-5,187,802	02-16-1993	Inoue et al.	
	11	US-5,230,069	07-20-1993	Brelsford et al.	
	12	US-5,237,616	08-17-1993	Abraham et al.	
	13	US-5,287,363	02-15-1994	Wolf et al.	
	14	US-5,295,251	03-15-1994	Wakui et al.	
	15	US-5,361,375	11-01-1994	Ogi	
	16	US-5,469,557	11-21-1995	Salt et al.	
	17	US-5,506,975	04-09-1996	Onodera	
	18	US-5,555,385	09-10-1996	Osisek	
	19	US-5,555,414	09-10-1996	Hough et al.	
	20	US-5,560,013	09-24-1996	Scalzi et al.	

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	21	EP 0 602 867 A1	06-22-1994	NCR International Inc.		
	22	EP 0 892 521 A2	01-20-1999	Hewlett-Packard Company		
	23	EP 0 961 193 A2	12-01-1999	Texas Instruments Incorporated		
	24	EP 0 965 902 A2	12-22-1999	National Semiconductor Corp.		
	25	EP 1 055 989 A1	11-29-2000	Hewlett-Packard Company		
	26	EP 1 056 014 A1	11-29-2000	Hewlett-Packard Company		
	27	EP 1 085 396 A1	03-21-2001	Hewlett-Packard Company		
	28	EP 1 209 563 A2	05-29-2002	Microsoft Corporation		
	29	EP 1 271 277 A2	01-02-2003	Redstrike B.V.		
	30	WO 95/24696	09-14-1995	Mooney et al.		

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
Application Number		09/605,605			
Filing Date		June 28, 2000			
First Named Inventor		Carl M. Ellison			
Art Unit		2132			
Examiner Name		Justin T. Darrow			
Attorney Docket Number		42390P7709			
<b>Sheet</b>	<b>2</b>	<b>of</b>	<b>7</b>		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	31	US-5,564,040	10-08-1996	Kubala	
	32	US-5,574,936	11-12-1996	Ryba et al.	
	33	US-5,604,805	02-18-1997	Brands	
	34	US-5,633,929	05-27-1997	Kaliski, Jr.	
	35	US-5,668,971	09-16-1997	Neufeld	
	36	US-5,684,948	11-04-1997	Johnson et al.	
	37	US-5,706,469	01-06-1998	Kobayashi	
	38	US-5,740,178	04-14-1998	Jacks et al.	
	39	US-5,752,046	05-12-1998	Oprescu et al.	
	40	US-5,809,546	09-15-1998	Greestein et al.	
	41	US-5,825,880	10-20-1998	Sudia et al.	
	42	US-5,919,257	07-06-1999	Trostle	
	43	US-5,935,242	08-10-1999	Madany et al.	
	44	US-5,935,247	08-10-1999	Pai et al.	
	45	US-5,944,821	08-31-1999	Angelo	
	46	US-5,956,408	09-21-1999	Arnold	
	47	US-5,978,475	11-02-1999	Schneier et al.	
	48	US-6,035,374	03-07-2000	Panwar et al.	
	49	US-6,044,478	03-28-2000	Green	
	50	US-6,088,262	07-11-2000	Nasu	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	51	WO 98/12620	03-26-1998	Mitsubishi Denki Kabushiki Kaisha	
	52	WO 99/18511	04-15-1999	Phoenix Technologies, Ltd.	
	53	WO 99/65579	12-23-1999	Bond	
	54	WO 00/21238	04-13-2000	Intel Corporation	
	55	WO 01/63994 A2	08-30-2001	Iridian Technologies, Inc.	
	56	WO 01/75595 A2	10-11-2001	Intel Corporation	
	57	WO 02/01794 A2	01-03-2002	Intel Corporation	
	58	WO 02/060121 A1	08-01-2002	Intel Corporation	
	59	WO 03/058412 A2	07-17-2003	Intel Corporation	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

**(use as many sheets as necessary)**

7

Application Number	09/605,605
Filing Date	June 28, 2000
First Named Inventor	Carl M. Ellison
Art Unit	2132
Examiner Name	Justin T. Darrow
Attorney Docket Number	42390P7709

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	80	US-6,678,825 B1	01-13-2004	Ellison et al.	
	81	US-6,684,326 B1	01-27-2004	Cromer et al.	
	82	US-2001/0021969 A1	09-13-2001	Burger et al.	
	83	US-2001/0027511 A1	10-04-2001	Wakabayashi et al.	
	84	US-2001/0027527 A1	10-04-2001	Khidekel et al.	
	85	US-2001/0037450 A1	11-01-2001	Metlitski et al.	
	86	US-2002/0007456 A1	01-17-2002	Peinado et al.	
	87	US-2002/0023032 A1	02-21-2002	Pearson et al.	
	88	US-2002/0147916 A1	10-10-2002	Strongin et al.	
	89	US-2002/0166061 A1	11-07-2002	Falik et al.	
	90	US-2002/0169717 A1	11-14-2002	Challener	
	91	US-2003/0018892 A1	01-23-2003	Tello	
	92	US-2003/0074548 A1	04-17-2003	Cromer et al.	
	93	US-2003/0115453 A1	06-19-2003	Grawrock	
	94	US-2003/0126442 A1	07-03-2003	Glew et al.	
	95	US-2003/0126453 A1	07-03-2003	Glew et al.	
	96	US-2003/0159056 A1	08-21-2003	Cromer et al.	
	97	US-2003/0188179 A1	10-02-2003	Challener et al.	
	98	US-2003/0196085 A1	10-16-2003	Lampson et al.	
	99	US-2004/0117539 A1	06-17-2004	Bennett et al.	

[illegible]

Date	
Considered	

Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/605,605
				Filing Date	June 28, 2000
				First Named Inventor	Carl M. Ellison
				Art Unit	2132
				Examiner Name	Justin T. Darrow
Sheet	5	of	7	Attorney Docket Number	42390P7709

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
	100	JOHN CRAWFORD, "Architecture of the Intel 80386", IEEE International Conference on Computer Design: VLSI in Computers, 6-9 October 1986, pp.155-160, New York, USA.		
	101	GEORGE COULOURIS, ET AL., "Distributed Systems: Concepts and Designs: 14.4: Concurrency Control in Distributed Transactions", 1994, pp. 422-424, Second Edition, Addison-Wesley Publishing Company Inc.		
	102	R.S. FABRY, "Capability-Based Addressing", Communications of the ACM, July 1974, pp. 403-412, Vol. 17, No. 7, USA.		
	103	DR. GIDEON FRIEDER, "The Architecture and Operational Characteristics of the VMX Host Machine", IEEE, 1982, pp. 9-16, USA.		
	104	S. NANBA, ET AL., "VM/4(2) ACOS-4 Virtual Machine Architecture", IEEE, 1985, pp. 171-178, USA.		
	105	MENDEL ROSENBLUM, "VMware's Virtual Platform", Proceedings of Hot Chips 11, 15-17 August 1999, pp. 185-196, USA.		
	106	Intel Corporation, "IA-64 System Abstraction Layer Specification", January 2000, pp. 1-1 to 3-21, XP-002253057, USA.		
	107	Intel Corporation, "Intel 82802AB/82802AC Firmware Hub (FWH)", November 2000, pp. 1-28, XP-002257561, USA.		
	108	Intel Corporation, "IA-32 Intel Architecture Software Developer's Manual: Vol. 3: System Programming Guide", 2003, Chapter 13: System Management, pp. 13-1 to 13-24, USA.		
	109	Hewlett-Packard Company, "Mobile Security Overview", September 2002, pp. 1-9, USA.		
	110	RSA Security, "Software Authenticators", 2004, pp. 1-2, Retrieved from the WWW on 1 June 2004: <rsasecurity.com/node.asp?id-1313>.		
	111	RSA Security, "Hardware Authenticators", 2004, pp. 1-2, Retrieved from the WWW on 1 June 2004: <rsasecurity.com/node.asp?id-1158>.		
	112	RSA Security, "RSA SecurID Authenticators: The Gold Standard in Two-Factor User Authentication", 2003, pp. 1-2.		
	113	IBM Corporation, "IBM ThinkPad T30 notebooks", April 2002, pp 1-6.		

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.  
Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application Number	09/605,605
				Filing Date	June 28, 2000
				First Named Inventor	Carl M. Ellison
				Art Unit	2132
				Examiner Name	Justin T. Darrow
				Attorney Docket Number	42390P7709
Sheet	6	of	7		

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
	114	"Trusted Computing Platform Alliance (TCPA): Main Specification Version 1.0", 25 January 2001, pp. 122-227, XP-002272822, USA.		
	115	JOE HEINRICH, MIPS R4000 Microprocessor User's Manual: Chapter 4: Memory Management, 1994, pp. 61-97, Second Edition, MIPS Technologies, Inc.		
	116	ALFRED J. MENEZES, ET AL., "Handbook of Applied Cryptography: Ch. 10: Identification and Entity Authentication", October 1996, pp. 403-570, CRC Press, ISBN: 0-8493-8523-7.		
	117	BRUCE SCHNEIER, "Applied Cryptography: Chapter 2: Protocol Building Blocks", 1996, pp. 28-33, Second Edition, XP-002251738, John Wiley & Sons, USA.		
	118	BRUCE SCHNEIER, "Applied Cryptography: Chapter 3: Basic Protocols, 1996, pp. 47-52 (XP-002939871) and pp. 56-65 (XP-002138607), Second Edition, John Wiley & Sons, USA.		
	119	BRUCE SCHNEIER, "Applied Cryptography: Chapter 8: Key Management, 1996, pp. 169-187, Second Edition, XP-002111449, John Wiley & Sons, USA.		
	120	BRUCE SCHNEIER, "Applied Cryptography: Chapter 10: Using Algorithms, 1996, pp. 216-217, Second Edition, John Wiley & Sons, USA.		

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wtr) 08/11/2003.  
Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/605,605
				Filing Date	June 28, 2000
				First Named Inventor	Carl M. Ellison
				Art Unit	2132
				Examiner Name	Justin T. Darrow
Sheet	7	of	7	Attorney Docket Number	42390P7709

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	121	BRUCE SCHNEIER, "Applied Cryptography: Chapter 19: Public-Key Algorithms, 1996, pp. 461-473, Second Edition, John Wiley & Sons, USA.	
	122	BRUCE SCHNEIER, "Applied Cryptography: Chapter 22: Key-Exchange Algorithms, 1996, pp. 518-522, Second Edition, John Wiley & Sons, USA.	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.  
Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450